

PROSKAUER ROSE LLP

RECEIVED
CENTRAL FAX CENTERMAY 12 2005
1000 PENN AVENUE
NEW YORK, NY 10036-2999
Telephone 212.969.3000
Fax 212.969.2900LOS ANGELES
NEW YORK
MIAMI
DOCA RATON
NEWARK
NEW ORLEANS
PARIS

Date	May 12, 2005	Client-Matter	74622-007	Fax Transmittal
Total Pages (including Cover)	3			
From	John C. Stellabotte			
Sender's Voice Number	212.969.3413			Sender's Room Number 17-44
Sender's Email Address	jstellabotte@proskauer.com			Main Fax Number 212.969.2900
To:	Examiner: John W. Hayes			Fax No.: 703.872.9306
Company:	United States Patent and Trademark Office – Group Art Unit 3621			Voice No.: 703.306.5447

Message

Re: Inventor : Phillip Koh-Kwe Hsu
 Serial No. : 09/685,924
 Filing Date : October 10, 2000
 Title : INTRANET SYSTEM FOR A FINANCIAL SERVICES CORPORATION
 Att'y Docket : 74622-007

Attached please find the following:

- 1) Power of Attorney and Correspondence Address Indication Form
- 2) Statement Under 37 CFR 3.73(b)

Please contact Teller or file a call at (712) 969-3411 if you have any questions.

FACSIMILE TRANSMISSION CERTIFICATE

I hereby certify that the foregoing facsimile transmission was transmitted to the Patent and Trademark Office on the date shown below.

Juan C. Arias

Name of person signing the certification

Juan C. Arias
Signature

May 12, 2005

Date

Confidentiality Note: This message is confidential and intended only for the use of the addressee(s) named above. It may contain legally privileged material. Dissemination, distribution or copying of this message, other than by such addressee(s), is strictly prohibited. If you have received this message in error, please immediately notify us by telephone and return the original to us at the address above. We will reimburse you for the cost of the telephone call and postage. Thank you.

BEST AVAILABLE COPY

**RECEIVED
CENTRAL FAX CENTER**

MAY 12 2005

PTO/SB/81 (09-04)

Approved for use through 11/30/2005. OMB 0651-0005
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**POWER OF ATTORNEY
and
CORRESPONDENCE ADDRESS
INDICATION FORM**

Application Number	09/685,924
Filing Date	October 10, 2000
First Named Inventor	Philip Koh-Kwei Hsu
Title	INTRANET SYSTEM FOR A FINANCIAL SERVICES CORPORATION
Art Unit	3621
Examiner Name	John W. Hayes
Attorney Docket Number	74622-007

I hereby appoint:

Practitioners associated with the Customer Number:

21890

OR

Practitioner(s) named below:

Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please recognize or change the correspondence address for the above-identified application to:

The address associated with the above-mentioned Customer Number:

OR

The address associated with Customer Number:

21890

Firm or Individual Name

Address

City

Country

Telephone

State

Zip

Fax

I am the:

Applicant/Inventor.

Assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

SIGNATURE of Applicant or Assignee of Record

Signature		Date	5/12/05
Name	Gregg I. Goldman	Telephone	203.719.3099
Title and Company	Director and Senior Counsel, Technology and Intellectual Property, UBS AG, Stamford Branch		

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

Total of _____ forms are submitted.

This collection of information is required by 37 CFR 1.31 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual cases. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

PTO/US/06 (08-04)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

STATEMENT UNDER 37 CFR 3.73(b)

Phillip Koh-Kwe Hsu

Applicant/Patent Owner:

Application No./Patent No.: 09/685,924 Filed/Issue Date: October 10, 2000Entitled: **INTRANET SYSTEM FOR A FINANCIAL SERVICES CORPORATION**UBS Financial Services, Inc.Corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

- the assignee of the entire right, title, and interest; or
- an assignee of less than the entire right, title and interest.
The extent (by percentage) of its ownership interest is _____ %

in the patent application/patent identified above by virtue of either:

An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

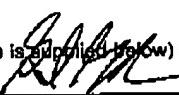
A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: Philip Koh Kwe Hsu To: Painewebber Incorporated
The document was recorded in the United States Patent and Trademark Office at Reel 011222, Frame 0291, or for which a copy thereof is attached.
2. From: Painewebber Incorporated To: UBS Painewebber Incorporated
The document was recorded in the United States Patent and Trademark Office at Reel 012259, Frame 0887, or for which a copy thereof is attached.
3. From: UBS Painewebber, Inc. To: UBS Financial Services, Inc.
The document was recorded in the United States Patent and Trademark Office at Reel 014487, Frame 0783, or for which a copy thereof is attached.

 Additional documents in the chain of title are listed on a supplemental sheet. Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.



Signature

DateGregg L. Goldman203-719-3099Printed or Typed Name
Director and Senior Counsel, Technology and
Intellectual Property, UBS AG, Stamford Branch

Telephone Number

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 33 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.